

Patent

IN THE UNITED STATES PATENT AND
TRADEMARK OFFICE

Phoenix, Arizona
2874

Applicant: James A. Cox et al. **Group:**
Serial No.: 10/028,437 **Examiner:** t.b.d.
Filed: 12-28-2001 **Atty Docket No.:** V637 02531
For: VERTICAL CAVITY SURFACE EMITTING LASER HAVING A
GAIN GUIDE APERTURE INTERIOR TO AN OXIDE
CONFINEMENT LAYER

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Box Patent Application
Assistant Commissioner of Patents
POB 1450
Alexandria, VA 22313-1450

Dear Sir:

The following sections are being submitted for this Supplemental Information Disclosure Statement:

1. Preliminary Statements.

Applicants submit herewith additional patents, publications or other information as the result of an International Search Report, that they believe may be material to the patentability of the claims under consideration in this application and in respect of which there may be a duty to disclose under 37 C.F.R. § 1.56.

The filing of this Supplemental Information Disclosure Statement shall not be construed as a representation that a search has been made (37 CFR § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56 (37 C.F.R. § 1.97(h)), or that no other material information exists.

The filing of this Supplemental Information Disclosure Statement is not to be construed as a representation that the references are prior art within the meaning of 35 U.S.C. §§ 102 or 103. Further, any explanation, if provided, is not to be construed as a representation that the references have been thoroughly reviewed. In particular, no representation as to the relevance of any portion of any reference is intended.

The filing of this Supplemental Information Disclosure Statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

2. Form PTO-1449, List of Prior Art Cited by Applicant, citing no U.S. patents, two foreign patents, and two publications.

3. Attached to this Supplemental Information Disclosure Statement is a copy of the International Search Report in the corresponding International Application, along with the cited references, for consideration by the U.S. Patent and Trademark Office. Copies of the references listed in the International Search Report that have not been provided are believed to define the general state of the art and are not considered to be of particular relevance.

4. These references are in addition to those listed in the Information Disclosure Statement and Form PTO 1449 filed with the Patent and Trademark Office on December 28, 2001.

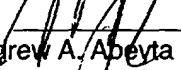
5. Statement in accordance with 37 C.F.R. § 1.97(e):

☒ (1) Each item of information contained in the Supplemental Information Disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the Supplemental Information Disclosure statement; or

☐ (2) No item of information contained in the Supplemental Information Disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the Supplemental Information Disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the Supplemental Information Disclosure statement.

6. The person making this statement is the attorney who signs below on the basis of the information supplied by the inventor(s) and the information in the attorney's file.

Telephone: 602.313.3345
Facsimile: 602.313.4559

By: 
Andrew A. Abeysa
Reg. No. 39,582
Attorney for Applicant

Honeywell International Inc. (Assignee)
101 Columbia Road
P.O. Box 2245
Morristown, New Jersey 07962

CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referred to as being attached or enclosed) is being deposited on the date shown below addressed to the Assistant Commissioner of Patents, POB 1450, Alexandria, VA, 22313-1450:

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With the United States Postal Service
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Andrew A. Abeysa, Reg. No. 39,582

PATENT
Serial No. 10/028,437
PAGE 2

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Substitute for form 1449A-PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(USE AS MANY SHEETS AS NECESSARY)

Sheet	1	Of	2
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COMPLETE IF KNOWN

Application Number	10/028,437
Filing Date	12-28-2001
First Named Inventor	James A. Cox et al.
Art Unit	2874
Examiner Name	t.b.d.
Attorney Docket Number	V637 02531 US

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
		DE	201 13 207	U1	12-20-2001	Ying-Jay Yang		
		EP	0 772 266	A1	05-07-1997	Motorola, Inc.		

Examiner
SignatureDate
Considered

EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.01. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

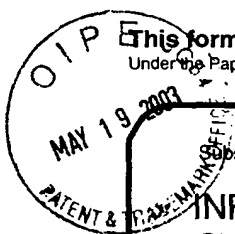
This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC, 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC, 20231.

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Sheet	2	Of	2
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Application Number	10/028,437
Filing Date	12-28-2001
First Named Inventor	James A. Cox et al.
Group Art Unit	2874
Examiner Name	t.b.d.
Attorney Docket Number	V637 02531 US

[illegible]

Examiner Signature		Date Considered	
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EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC, 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, Washington, DC, 20231.**

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